COLLEGE OF ACCOUNTING SCIENCES

RESEARCH ETHICS REVIEW COMMITTEE

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| FORM 5: 2019  RESEARCH ETHICS APPLICATION FOR CLASS APPROVAL |

If you have any questions about or require assistance with the completion of this form, please contact your supervisor (master’s or doctoral students), or the Research Ethics Representative in the Department, or the Research Ethics Chair of the Ethics Review Committee (ERC) (012 429 8844 or [erasmlj1@unisa.ac.za](mailto:erasmlj1@unisa.ac.za) )

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| **For applicant use**  ***\*This section is needed for record keeping.*** |  | |
| **DATE SUBMITTED TO ERC** |  | |
| **PREVIOUS APPLICATION NUMBER**  *(Applicant to indicate a previously allocated application number in case of a resubmission if applicable)* | **Previous Application Number** | **Not applicable** |
|  |  |

***\*This section is for office use only.***

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| **APPLICATION NUMBER** |  |
| **DATE PROCESSED (submitted to reviewers)** |  |
| **RISK LEVEL *(low, medium or high)*** |  |
| **TYPE OF REVIEW (expedited or full committee review)** |  |
| **AGENDA DATE**  *(For expedited applications, the agenda date is the date the expedited approval gets reported or ratified at the convened ERC)* |  |
| **DECISION OF ERC (approved, conditionally approved, referred back, disapproved)** |  |
| **DATE OF ISSUING APPROVAL CERTIFICATE OR FEEDBACK LETTER** |  |
| **Period for which approval is valid**  **(Valid only as long as approved procedures are followed)** |  |

**PRIVACY INFORMATION:**

The personal information you provide on this form is collected for the primary purpose of assessing your research ethics application. This personal information will be entered into a database to assist with administration, correspondence, and statistical analyses. Office bearers of the ERC have access to these records. Records will be made available to authorised third parties should the need arise such as the Unisa Research Ethics Review Committee (URERC). All records will be retained for as long as necessary to achieve the purpose for which it was collected.

The application form consists of:

|  |  |
| --- | --- |
| **Item** | **Page no** |
| **RESEARCHER’S DECLARATION** | 3-4 |
| **A checklist to ensure that all the requirements for class approval were met** | 5 |
| Section 1 – Researcher(s) details | 6 |
| Section 2 – Risk classification | 7 |
| Section 3 – Details of proposed research | 7-9 |
| Section 4 – Proposal summery sheet | 9-11 |
| Section 5 – Ethical considerations | 11-14 |

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| **RESEARCHER’S DECLARATION TO ADHERE TO THE UNISA CODE OF CONDUCT REGARDING THE ETHICS OF THE PROPOSED RESEARCH** |

**By signing below, I \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (full name of the main researcher) declare as follows:**

\*Double click on text box selected

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| --- | --- | --- |
| 1. I completed all the sections of this form that are relevant to the proposed research study. |  | Agree |
| 1. I have acquainted myself with UNISA’s code of conduct on research ethics expressed in the UNISA Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment. I shall fully comply with it. |  | Agree |
| 1. I shall conduct the research in strict accordance with the approved proposal. I acknowledge that the approval is valid as long as approved procedures are followed. |  | Agree |
| 1. I shall notify the ERC in writing if any changes to the research are proposed that may affect any of the study-related risks for the research. |  | Agree |
| 1. I shall maintain privacy and the confidentiality of records pertaining to the research. |  | Agree |
| 1. I shall not use the research and information in a manner that is detrimental to individuals or institutions unless it can be scientifically justified. |  | Agree |
| 1. I shall store research data securely and in accordance with the data management measures indicated in my application/proposal. |  | Agree |
| 1. I shall uphold research integrity and refrain from conduct that may taint the integrity of science, including, but not limited to plagiarism, fabrication and falsification of data. |  | Agree |
| 1. I shall refrain from the use of human participant data that was collected without a valid research ethics approval for the purpose of this research (retrospective use of participant data). |  | Agree |
| 1. I shall take the necessary steps to warrant that co-researchers, if applicable, familiarise themselves with the Unisa Policy on Research Ethics. |  | N/A  Agree |
| 1. I accept the privacy information statement set out on page 2. |  | Agree |

**Applicant: Principal Researcher**

Full name in Print:

Signature:

Date signed:

**Approved by supervisor (if applicable):**

To my knowledge, the student has addressed all aspects in his/her application for research ethics approval set forth in the University of South Africa’s Policy on Research Ethics. I will ensure that the student notifies the Ethics Review Committee in writing if any changes to the research that are proposed that may affect any of the study-related risks for the research participants. Subsequently, I approve the submission and recommend that approval be granted for the research.

Full name in Print:

Signature:

Date signed:

**Please complete the rest of the form below**

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| **Complete and submit the check list after completion of the application to ensure that all the requirements for class approval were met (Unisa Policy on Research Ethics)** |

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| **Item** | **Yes** | **Not applicable** |
| Did you append all relevant supporting documents (check all aspects below)   * The module/course outline * Assignment descriptions/brief * Assessment guide/criteria * Recruitment notices/scripts provided to students * Interview guidelines/questionnaire * Customised information sheets (consult Part 2 section 3 of the policy and the checklist in this application – 5.9) or templates prepared by the lecturer and included in the relevant Tutorial Letter. * Customised consent forms |  |  |
| Did you append the permission letters obtained from relevant authorities? |  |  |
| If transcribers or co-coders will be involved in the research activities, did you append the relevant confidentiality agreements? |  |  |
| Did you **sign and date** the ethical compliance agreement, Pages 3 and 4 – Declaration. Submit a scanned copy of this page if you do not have an electronic signature. |  |  |
| Did you submit the abridged CV of the principle researcher and/or co-investigators? [You do not have to submit student CVs] |  |  |
| Have any legal issues been dealt with satisfactory (e.g. intellectual property rights, copyright issues, authorship, etc.). |  |  |
| The application should be in one document and separate documents will not be accepted. |  |  |
| Did you provide evidence that permission has been obtained from students to use the data they collected if you (lecturer) intends using the data for further research? |  |  |

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| SECTION 1 – RESEARCHER’S DETAILS |

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| **1.1** | **Module/ Course Name:** |  |
|  | **Module/ Course Code:** |  |

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| --- | --- | --- | --- | --- | --- |
| **1.2** | **Details of main researcher (Lecturer)** | | | | |
| Title | Name and Surname | Staff / student no | Department/  Unit | Contact number | Email |
|  |  |  |  |  |  |
| Abridged CV of main researcher | | Please insert an abridged CV with the following information:   * Experience relevant to the proposed research * Qualifications relevant to the proposed research * Publications and other research outputs | | | |

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| **1.3** | **Internal and/or External Co-Researcher(s) \***  **\*** if applicable | | | |
| Title | Name and Surname | Affiliation/ Organisation | Contact numbers | Email |
|  |  |  |  |  |

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| **1.4** | **List of Student Researchers** | | | |
| **Name and Surname** | | **Title** | **Student no** | **Department** |
| **1** | |  |  |  |
| **2** | |  |  |  |
| **3** | |  |  |  |
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| SECTION 2 – RISK CLASSIFICATION |

The Unisa Policy on Research Ethics stipulates that class approval “may be given for students, especially where there is no risk of distress or injury to participants” (Annexure A 10.7). The risk categories refer to: **Category 1** (research involving negligible risk), **Category 2** (research involving low risk), **Category 3** (research involving medium risk) or **Category 4** (research involving high risk).

**Category 1:** The probability of anticipated harm or inconvenience in the research is not greater than that experienced in daily life.

**Category 2:** Research in which the only foreseeable risk is one of potential inconvenience or discomfort to the participants.

**Category 3:** Research in which there is a potential risk of harm or discomfort, but where appropriate steps can be taken to mitigate or reduce overall risk.

**Category 4:** Research in which there is a real and foreseeable risk of harm and discomfort, which may lead to a serious adverse event if not managed in a responsible manner.

[See standard operating procedures (SOP) for risk assessment]

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| 2.1 | Guided by the information above, classify your research project based on the anticipated degree of risk.  *Place x in box* | | | | | | | |
| Category 1 | |  | Category 2 |  | Category 3 |  | Category 4 |  |
| Briefly justify your choice/classification: | | | | | | | | |

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| **SECTION 3 – DETAILS OF PROPOSED RESEARCH** |

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| 3.1 | Title of the project submitted for class approval  *10 – 16 words* |
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| **3.2** | **Does the project involve Organisations or Institutions that require permission for research activities?** | | | | | |
| *Place x in box* | | | | | | |
|  | **NO** | | | | | |
|  | **YES** (You are required to seek approval from each organisation and provide the relevant CAS REC with a copy of the letter seeking permission at specified organisation). | | | | | |
| Name of Organisation | | Name of person granting permission & contact details | Their role in the organisation | Is permission granted and letter attached?  *Place x in appropriate box* | | |
| YES | NO | Pending |
| 1 |  |  |  |  |  |  |

*Please copy, paste and complete table for additional institutions.*

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| 3.3 | Are any of the Researchers members of, or do they have any association with, any of the organisations in which the research will be conducted?  Explain the association clearly. |
| *Place x in box* | |
|  | **NO** |
|  | **YES** |

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| 3.4 | Does the research involve communities or vulnerable individuals/groups? | | | |
| *Place x in box* | | | | |
|  | **NO** | | | |
|  | **YES** (Please explain what measures you have taken to consult and engage with those communities and / or representative groups regarding your research project.) | | | |
| **3.5** | **Is the project funded or sponsored by any organisation?** | | | |
| *Place x in box* | | | | |
|  | **NO** | | | |
|  | **YES**  *Please complete table below and attach signed contractual agreement documents.* | | | |
|  | Name of Organisation | Name of contact person and contact details | Their role in the organisation | Funding amount |
| 1 |  |  |  |  |
| 2 |  |  |  |  |

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| **3.6** | **How should this study be characterised?**  *Place x in all appropriate boxes* | | |
| Personal and social information collected directly from participants | | YES | NO |
| Identifiable information to be collected about people from available records (e.g. staff records, student records, etc.) | | YES | NO |
| Class approval | | YES | NO |
| Use of secondary data | | YES | NO |
| Research involving Unisa staff, students or data | | YES | NO |

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| **SECTION 4 - PROPOSAL SUMMARY SHEET** |

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| **4.1** | **Introduction/Background to the Research Project** |
| 1. Describe the context of the research for which the class approval is sought and give a concise description of the project the students need to undertake. 2. Indicate for which module and in which field the study will be undertaken. 3. Clearly indicate whether each student chooses their own project or if they all do the same project. Append the assignment brief and assessment guide. | |
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| **4.2** | **Research Design**  Describe the range of topics and the specific research design(s) that will be used, linked to the purpose/outcomes of the project. |
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| 4.3 | Details of the participants of the proposed Research Project  If each student chooses his/her own project, indicate this and describe the unit of analysis, the age category of the participant group and how the sample will be chosen and recruited. If a variety of topics and methods are used, what are the common sampling and recruitment features that will be shared by all of them? |
| 4.3.1 | Which categories/groups of individuals will be participating in the research (unit of analysis)? |
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| 4.3.2 | What is the age range of the participants in the study? |
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| 4.3.3 | | Describe the sampling methods (e.g. snowball sampling, purposive, random) including inclusion or exclusion criteria. | | | |
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| 4.3.4 | | Describe the range of methods by which participants will be recruited and indicate the recruitment message content. | | | |
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| **4.4** | **Collection of Data Material and Procedures** | | | | |
| **4.4.1** | **How will the data be collected?**  *Tick as many boxes as relevant to your project and explain the data collection process clearly.* | | | | |
| a) | Questionnaire(s) or survey(s)   |  |  | | --- | --- | | Self-designed |  |  |  |  | | --- | --- | | “Borrowed” |  | | | |  |  | | --- | --- | | Fully identifiable (name on it) or using a consent form |  |  |  |  | | --- | --- | | Potentially identifiable  (coded) |  |  |  |  | | --- | --- | | Anonymous  (can never be identified) |  | | | 1. In case of borrowing a questionnaire, has approval been granted by the developers? If approval is not necessary, justify why not.  2. Remember to append the questionnaire. |
| b) | |  |  | | --- | --- | | Interviews |  | | | |  |  | | --- | --- | | In-depth |  |  |  |  | | --- | --- | | Semi-structured |  |  |  |  | | --- | --- | | Unstructured |  | | |  |  | | --- | --- | | Audio  taped |  |  |  |  | | --- | --- | | Video  Taped |  | | 1. Attach interview questions or list of topics. 2. If a central research question will be asked, state the exact question *here:* |
| c) | |  |  | | --- | --- | | Focus groups |  | | |  | | 1. Attach focus group questions or list of topics. |
| d) | Other | | Specify | |  |
| Describe the data collection process (e.g. how will the questionnaires be distributed, how will interviews be conducted, etc.): | | | | | |

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| **4.5** | **Describe the data analysis method(s) which will be used (Qualitative Data Analysis Method or Quantitative Statistical Procedures).** | |
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| **4.6** | | **Reference List** |
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| **4.7** | **Indicate the Timeline** |
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| **SECTION 5 – ETHICAL CONSIDERATIONS** |

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| **5.1** | **Describe how you will educate the students about the Unisa Research Ethics Policy and requirements.** |
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| **5.2** | **Description of the process of obtaining Informed Consent**   * Consult Part 2 section 3 of the Unisa ethics policy * How will relevant stakeholders (from the highest authority to the individual participant) be requested to demonstrate their informed consent e.g. signing a consent form, completing a questionnaire following a cover letter explaining the research, etc.)? * “Secondary use of data” without the explicit informed consent of participants is against ethics policy. Kindly ensure that participants have consented to all potential future uses of the data e.g. conference presentations, academic journal articles, etc. * Append the information sheet and consent form. |
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| **5.3** | **Does the research involve participants who have specific cultural needs, i.e. specific consent arrangements or sensitivities?** |
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*Place x in box*

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|  | **NO** |
|  | **YES** (Please explain the intervention in full.) |
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| **5.4** | **Could participants be in a power relationship in which they feel coerced to participant?** |
| *Place x in box* | |
|  | **NO** |
|  | **YES** (Describe what will be done to ensure that participants provide free and full informed consent). |

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| **5.5** | **Could some participants lack the capacity (understanding) to provide full Informed Consent?** |
| *Place x in box* | |
|  | **NO** |
|  | **YES** (Describe what will be done to ensure that participants provide free and full informed consent) |

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| **5.6** | **Will the researcher guarantee Confidentiality and/or Anonymity of the participants? If so, describe how.**  *(There may be situations in which anonymity could not be ensured e.g. small sample size, focus groups, etc.).* |
| *Place x in box* | |
|  | **NO** |
|  | **YES** (*Describe what will be done to ensure that participants provide free and full informed consent)* |

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| **5.7** | **Describe steps to be undertaken in case of adverse event or when injury or harm is experienced by the participants attributable to their participation in the study**  *(Please study the research ethics policy document in this regard.)* |
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| 5.8 | Describe the procedure, security and duration of data storage. |
| 5.8.1 | Who will have access to the original data? |
|  | |
| 5.8.2 | Where will the data be retained? |
|  | |
| 5.8.3 | For what period of time will the data be retained? |
|  | |
| 5.8.4 | What reasonable steps will be taken to dispose of or permanently de-identify personal information if it is no longer needed for any purpose? |
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| **5.9** | **Checklist to ensure that the Participant Information Sheet and Consent Form meet ethical requirements**  Does the participant information sheet explain the following: | **YES** | **NO** |
| *Place x in box* | | | |
| a) The identity and position of the researcher(s) and the organisation collecting the information? | |  |  |
| b) The purposes for which the information is being collected? | |  |  |
| c) Reason why the participant has been selected and procedures for selection of participants? | |  |  |
| d) Approximate number of participants? | |  |  |
| e) Participant’s actual role in the study? | |  |  |
| f) Expected duration of participation? | |  |  |
| g) Statement that participation is voluntary and that there is no penalty or loss of benefit for non-participation? | |  |  |
| h) Benefits to the participant and others? | |  |  |
| i) Potential risks as well as measures that will be taken if injury or harm attributable to the study occurs? | |  |  |
| j) Statement that participant can withdraw at any time without obligation to explain or any adverse effects? | |  |  |
| k) Compensation/gifts/services for participants? | |  |  |
| l) Reimbursement and any costs incurred by participants? | |  |  |
| m) Indemnity if applicable? | |  |  |
| n) The period for which the records relating to the participant will be kept? | |  |  |
| o) The steps taken to ensure confidentiality and secure storage of data? | |  |  |
| p) The types of individuals or organisations to which your organisation usually discloses information of this kind? | |  |  |
| q) How privacy will be protected in any publication of the information? | |  |  |
| r) How feedback will be provided? | |  |  |
| s) Any exclusion to confidentiality? (e.g., when focus groups are used) | |  |  |

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| **5.10** | **Memo to institution requesting permission to conduct the study (attach as an appendix if applicable).** |
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| **5.11** | **Description of how participants will be informed of the findings or results and consulted on potential or actual benefits of such findings or results to them or others** (copy of journal article, book, chapter, summary, report to organisation, on-line web based, oral presentation, other).  (See Part 2 Section 2 of the policy) |
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| **5.12** | **What form will the research report(s) take and who will have access to the report(s)?**  (e.g. assignment, report to university stakeholders, academic conference presentation, scientific journal article, article for popular press)? |
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| **5.13** | **Will participants receive any incentives to encourage them to participate in the study? (Describe if applicable)**  (See Part 2 Section 2 of the policy) |
|  | |
| **5.14** | **Describe any financial costs to participants (if applicable).** |
|  | |

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| **5.15** | **How and when will the principle researcher report to the Research Ethics Review Committee?** |
|  | |